



**WASHINGTON STATE  
PUBLIC WORKS TRUST FUND:  
INVESTING IN WASHINGTON COMMUNITIES**

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**THE PUBLIC WORKS TRUST FUND  
APPLICATION FOR  
CAPITAL FACILITIES PLANNING LOAN PROGRAM**



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WASHINGTON STATE  
PUBLIC WORKS TRUST FUND  
CAPITAL FACILITIES PLANNING LOAN APPLICATION

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Department of Community, Trade and Economic Development  
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PO Box 48319  
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## GENERAL APPLICATION INFORMATION

This application is to be used for the Public Works Trust Fund (PWTF) Capital Facilities Planning (CFP) Loan program. It includes all the necessary forms and instructions to apply.

### PROGRAM PURPOSE

This program's goal is to provide financial assistance for the preparation of long-term Capital Facilities Plans or Comprehensive System Plans (which include a CFP). Particular emphasis is given to jurisdictions lacking local planning capacity.

### ELIGIBLE APPLICANTS

- Special Purpose Districts
- Counties, cities, and towns planning under the GMA **whose deadlines for adoption of comprehensive plans and development regulations are not past due.**
- Counties, cities, and towns not currently subject to GMA requirements.
- Newly Formed Counties.
- Newly Formed Cities.
- Newly Formed Special Purpose Districts.
- Major Receivership (20%) (Both GMA and non-GMA jurisdictions)
- Major Annexation (20%) (Both GMA and non-GMA jurisdictions)
- New System (example: septic to central sewer) (Both GMA and non-GMA jurisdictions)

### ALLOWABLE COSTS

PWTF monies may be used to cover any PWTF eligible system (road, bridge, domestic water, sanitary and storm sewer, and solid waste). The CFP may be either single system or multiple system. We encourage you to include other non-eligible systems within the CFP (such as public buildings, parks and electrical utilities) **but costs arising from these non-eligible systems can not be paid for by PWTF monies or be included as part of the required local match.**

All costs must be related to work identified within the approved Scope of Work.

A jurisdiction **can not reimburse itself**, but such costs, with proper documentation, can be recognized as local match. Local match costs can be incurred after loan execution or within 12 months prior to loan execution.

## GENERAL APPLICATION INFORMATION (Continued)

PWTF loan monies **can only be used for work done by consultants who were selected under a competitive process.** These consultants may either prepare the CFP or comprehensive system plan in its entirety, or may contribute toward its preparation in a number of ways. These may include infrastructure adequacy studies, inventory and classifications, GIS mapping, and public meeting facilitation.

PWTF monies **can not** be used to reimburse work performed prior to loan execution.

### **LOAN TERMS**

Zero percent (0%) interest loans of up to \$30,000 per eligible jurisdiction may be requested. Previous recipients of PWTF CFP loans may request a loan for the balance of \$30,000, less the amount of the previous loan. Applicants must commit a locally generated revenue for a minimum of 25% of the total eligible project cost. Repayment of the loan will be up to a five-year term.

### **REQUIREMENTS OF FINAL PLAN**

The following standards are the minimum requirements for a Capital Facilities Plan (CFP) under the Growth Management Act (GMA), and as established by the Public Works Board. Effective January 1, 1996, the Trust Fund will be requiring all loan applicants, whether planning under GMA or not, to have CFP's which meet these requirements *except* those jurisdictions planning under GMA whose deadlines are after January 1, 1996).

1. Inventory major system components, show locations and capabilities, and assess the overall capital needs for the specific system(s) involved;
2. Forecast future needs for the capital facilities, show location and capabilities of expanded or new capital facilities;
3. Identify, prioritize, and coordinate major capital improvement projects over a six-year period;
4. Estimate capital project costs, identify financing alternatives for each project identified. Transportation projects and funding must be consistent with locally-established service standards;
5. Must be updated on a regular basis. We recommend at least once every two years. In no case will a plan over six (6) years old be accepted;
6. Must be consistent with the comprehensive plans of neighboring jurisdictions;
7. Must have provided opportunity for early and continuous public participation; and
8. Must be consistent with, and be an element of, the comprehensive plan formally adopted by the governing body of the local jurisdiction.

## SUBMITTAL INSTRUCTIONS

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Please read the entire application packet before preparing your proposal. Proposals that include thorough and complete responses are more competitive. Be sure that all relevant information is in the body of your proposal...not in cover letters or letters of support.

We have included samples of each section of the application for you to use as a guide. Please refer to ***Helpful Hints, Part E, page 21.***

Proposals must address all the items listed below, and should follow suggested page limits. Please make print size at least ten point font, so that the review team can read it without difficulty.

The proposal should include the following elements in the order they are presented:

1. Project Summary Form
2. Opportunity/Problem Statement
3. Goals and Objectives Statement
4. Work Plan Narrative
5. Work Plan Form
6. Evaluation Statement
7. Budget Worksheet
8. Scope of Work Forms
9. Threshold Requirements

Submit ONE original proposal, signed in ink, and two copies to:

Cecilia Gardener  
CFP Program Coordinator  
Public Works Trust Fund  
Washington State Department of  
Community, Trade and Economic Development  
906 Columbia Street SW  
PO Box 48319  
Olympia, Washington 98504-8319

FAX TRANSMITTED PROPOSALS WILL NOT BE ACCEPTED.

# APPLICATION REVIEW PROCESS

## What happens to my application when it arrives at CTED?



The selection process for PWTF CFP Loan proposals consists of three stages:

1. Threshold Review
2. Rating and Selection
3. Announcing the Recipients

### **Threshold Review (Stage 1)**

Threshold review is conducted by PWTF Program staff to determine if the application meets eligibility and minimum application requirements. When conducting the threshold review, program staff may contact the applicant to resolve threshold issues; no new information will be requested or accepted. No points are awarded during this stage; however, applications failing to meet minimum threshold requirement will not advance to the rating and selection stage. All threshold requirements are listed in the Application Content Checklist, page 7.

### **Rating and Selection (Stage 2)**

The rating and selection process is an evaluation of each application, using criteria and weights described in the application instructions. Each application is ranked as a “low”, “medium”, or “high” proposal. The “high” proposals are then combined and ranked comparatively. The “high” proposals having funding priority; the remaining proposals will be re-evaluated if funds remain. Applications will be evaluated based on the following:

Problem/Opportunity	35%
Goals/Objectives	10%
Work Plan	35%
Evaluation Statement	10%
<u>Budget</u>	<u>10%</u>
<b>TOTAL</b>	<b>100%</b>

### **Recipients Announced (Stage 3)**

When the rating process is complete, applicants will be listed in rank order. Funding recommendations will be made to the Public Works Board. After receiving Board approval, applicants will receive written notice of the rating process results.

## APPLICATION REVIEW PROCESS (continued)

### How does the actual contract process work once loans are announced?

- Following notification of project selection, a loan agreement is prepared for each funded jurisdiction. The local government or special purpose district has 90 days from the date mailed, to complete the Scope of Work forms, and return them. An additional 90 days are allowed to sign and return the loan agreement. The project must be completed within 18 months of loan execution. Projects are not complete until copies of Closure Reports from the Department of Revenue and the Department of Labor and Industries have been received.
- Loan Disbursement: Funds will be disbursed as follows:
  - 15% at loan execution
  - 75% after competitive selection of consultant
  - 10% at close-out

## THRESHOLD REQUIREMENTS

1. **Minimum CFP:**

For all applicants, a minimum CFP must be in place. Examples of qualifying “minimum CFPs” include a six-year road plan, draft CFP, outdated comprehensive plan, or other minimal plan.

Do you have a minimum plan? Yes\_\_\_\_\_ NO\_\_\_\_\_

Identify:\_\_\_\_\_

2. **Real Estate Excise Tax:**

Counties, cities, and towns only. (Does not apply to Special Purpose Districts).

Has your jurisdiction adopted the local one-quarter of one percent (0.0025%) excise tax on the sale of real property as permitted by RCW 82.46.010(2)?

Not Applicable\_\_\_\_\_ Yes\_\_\_\_\_ NO\_\_\_\_\_

3. **Growth Management Act (GMA):** (Does not apply to Special Purpose Districts)

Counties, cities, and towns planning under the Growth Management Act (GMA), whose deadlines for adoption of comprehensive plans and development regulations **are not past due:**

Are you developing this plan in order to comply with requirements of the Growth Management Act?

Yes\_\_\_\_\_ NO\_\_\_\_\_

If yes, what elements of your Comprehensive Land Use Plan have been completed?

**If you answered NO to any of the above questions (1,2, or 3), you are NOT eligible for a PWTF CFP Loan.**

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**If you have any questions about threshold requirements, contact your Regional Account Executive,**

Region I:	Isaac Huang	(360) 586-0659
Region II:	Denise Van Housen	(360) 753-4283
Region III:	Betty Lochner	(360) 753-4282
Region IV:	Terry Dale	(360) 664-0407

## APPLICATION CONTENT CHECKLIST

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_____	Threshold Requirements, Part A, Page 6
_____	Application forms, Part B, Pages 8-16
_____	Scope of Work forms, Part C, pages 17-18
_____	Certification forms, Part D, pages 19-20

Applications should be mailed to:

Cecilia Gardener, CFP Program Coordinator  
Public Works Trust Fund  
Department of Community, Trade and Economic Development  
906 Columbia Street SW  
PO Box 48319  
Olympia, Washington 98504-8319

## PROJECT SUMMARY FORM

1. Applicant Jurisdiction \_\_\_\_\_  
Address \_\_\_\_\_  
Phone Number \_\_\_\_\_ FAX Number \_\_\_\_\_  
Federal Tax Identification Number (TIN) \_\_\_\_\_

2. Project Coordinator \_\_\_\_\_  
(Name) (Title)  
Phone Number \_\_\_\_\_ FAX Number \_\_\_\_\_

3. If a consultant helped prepare this application, please identify:  
Name \_\_\_\_\_  
Phone Number \_\_\_\_\_ FAX Number \_\_\_\_\_

4. Amount of Funding Requested: \$ \_\_\_\_\_

5. Brief Project Description: \_\_\_\_\_  
\_\_\_\_\_

6. For our tracking systems only, please provide the following information for the project's location:

County: \_\_\_\_\_  
State Legislative District: \_\_\_\_\_  
Congressional District: \_\_\_\_\_

***I hereby certify that I am authorized by \_\_\_\_\_ to  
submit this application to the State of Washington.***  
Organization/Jurisdiction

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Signature: \_\_\_\_\_ Date \_\_\_\_\_

## APPLICATION NARRATIVE AND FORMS

### OPPORTUNITY AND/OR PROBLEM STATEMENT



#### WHAT IS THE COMMUNITY SITUATION?

*In the Opportunity/Problem Statement you tell the community's story: opportunities it embraces or problems it faces. This section identifies the local conditions that the community wants to create, enhance, or change. It describes how your community determined its most important needs.*

Label this section OPPORTUNITY/PROBLEM. We recommend you limit your response to the following items to **three pages**.

- What is the opportunity, problem, or need the proposal seeks to address
- Who or what is most affected by the opportunity, problem, or need?
- Describe how the proposed project was developed. Include key people or organizations consulted, and the process used to involve the public.
- Is this project the result of a local or regional strategic planning effort? If you have an existing plan, summarize the key points as they relate to the proposal.
- How did your community determine that this project is a high priority?  
How does this project rank compared to other local needs?

#### Evaluation Criteria 35%

The review team evaluates the Opportunity/Problem Statement by looking at a number of factors. These include the effect of the opportunity/problem on the community, its urgency or severity, and the demonstrated level of citizen involvement and community support. The team also reviews how the proposal fits the particular community situation. Complete and clear responses are desired.

## APPLICATION NARRATIVE AND FORMS

### GOALS AND OBJECTIVES STATEMENT



**What do you want to accomplish? What are some of the specific activities?**

A **Goal Statement** identifies the desired outcome(s) related to your identified problem, need, or opportunity. A goal statement usually consists of one or two sentences.

**Objectives** are concise statements of measurable activities which need to take place to achieve the desired goal(s). Several objectives are usually needed to accomplish the goal(s). A time frame is often included for meeting each objective. Objectives are the basis for your work plan and are used to evaluate the project's success.

Label this section GOALS AND OBJECTIVES. We recommend you limit your response to the following items to **one page**.

- State your goal(s) in one or two sentences. Your goal(s) should relate to the opportunity/problem statement.
- Under each goal, state the concise, measurable objectives necessary to accomplish the goal. It helps if you can provide a time frame for each objective.

#### Evaluation Criteria (10%)

The review team determines if the **Goals and Objectives Statement** includes project outcomes which are concise, well-defined, and measurable. Goals and objectives need to be relevant, reasonable, and achievable. The review team also considers the degree of impact that the activities are likely to have on the problem or opportunity.

## APPLICATION NARRATIVE AND FORMS

### WORK PLAN



**How do you intend to accomplish your goals and objectives?  
Who will be involved?**

#### WORK PLAN NARRATIVE

Label this section WORK PLAN. We recommend you limit your response to the following items to **one page**.

- Explain *why* the individuals and/or organizations listed on the **Work Plan Form** were selected.
- If applicable, explain *why* you have chosen to use a consultant.
- List obstacles which might affect the success of the project if funded and describe how your work plan addresses these obstacles.
- Describe *how* and *when* the persons affected by the project will have an opportunity to contribute to or to be involved in work plan activities.

#### WORK PLAN FORM

Complete the WORK PLAN FORM (next page). We recommend you limit your response on the Work Plan Form to **three pages**.

- List the tasks and time frame.
- Name the individual(s), consultant(s), or organization(s) responsible for carrying out each task.

### Evaluation Criteria (35%)

The review team looks for a **Work Plan** that is clear and thorough. Listed tasks, time frames, and responsible parties should be realistic and appropriate. Potential obstacles should be addressed. The work plan also needs to include adequate opportunities for public involvement.

**SUBMIT THIS FORM WITH THE  
APPLICATION**

WORK PLAN FORM		
TASKS	TIME FRAME	RESPONSIBLE PARTY

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## APPLICATION NARRATIVE AND FORMS

### EVALUATION STATEMENT



**How will you know if you are on track and if your project is a success?**

The **Evaluation Statement** describes how you will monitor progress and evaluate your project's success. Checkpoints in the project help you decide if you are achieving your goals, or if you need to redirect your efforts.

Label this section **EVALUATION**. We recommend you limit your response to the following items to **one page**.

- Describe *how* and *when* you will monitor and evaluate this project. If applicable, include how you will evaluate the consultant's on-going performance.
- Identify *who* has the authority to make adjustments to the work plan to ensure success.
- Describe *how* you will determine if this project was successful. If applicable, explain how any planning activities will lead to future implementation.
- List measurable outcomes or results for the project.
- Please list any final product(s), including final reports and studies.

#### Evaluation Criteria (10%)

The review team looks for an **Evaluation Statement** that shows you have the ability to monitor the project's progress and make changes, if needed. The team also needs to have a clear understanding of how you expect to measure success in meeting your stated goals and objectives.

## APPLICATION NARRATIVE AND FORMS

### PROJECT BUDGET

Using the **Budget Worksheet**, you should present a financial plan that is reasonable, considering the scope and duration of the project. If you have a question concerning the eligibility of a project cost, contact PWTF staff prior to submitting your proposal. A match of 25% is required. The match can be cash, in-kind, or a combination of both. For examples of budgets, **see Helpful Hints, Part E, page 21.**

#### ELIGIBLE COSTS

- A. **Personnel:** Salaries and benefits for project employees based on the length of the project. Show staff positions, and the amount of time each contributes to the project.
- B. **Personal Services:** Any subcontracts with consultants should include hourly rates, travel, communication, and other associated costs. You can include as in-kind contributions any donated services or volunteer time.
- C. **Project Related Expenses:**
  - Materials and Supplies:** Items used specifically for this project.
  - Communications:** Telephone, FAX, postage, overnight mailing fees directly related to the project.
  - Printing and Reproduction:** Printing, photocopying, or photography costs.
  - Rentals and Leases:** Office space, equipment rentals or leases for this project.
  - Workshop or Training:** Costs to attend and/or sponsor a training event.
- D. **Travel:** Include mileage, lodging, and meals for staff and volunteers. Consultant travel belongs in the total you show under consultant - subcontracts. (See Personal Services Above)
- E. **General Administration:** You can include bookkeeping costs or time to complete required reports to CTED under cash or in-kind contributions.

## APPLICATION NARRATIVE AND FORMS

### PROJECT BUDGET (continued)

#### INELIGIBLE COSTS

1. Capital expenses, such as land acquisition, construction costs, final architectural, engineering, or other pre-construction designs.
2. Purchase of machinery or computer equipment. You can lease these, but **not** under a lease-purchase contract.
3. Hosting expenses, such as meals, lodging or transportation, incurred by persons other than staff or volunteers working directly on the project.
4. Payment of general on-going organization operations.
5. Other costs which are not directly related to the proposed project.

#### Evaluation Criteria (10%)

The review team evaluates if the **Project Budget** amounts listed and the explanations provided are thorough and reasonable. The budget should also be appropriate to the scope and duration of your project.

**SUBMIT THIS FORM WITH THE APPLICATION**

**BUDGET WORKSHEET**

What is the expected contract time funded by this request?\* \_\_\_\_\_ months.

	Request to CTED*	Cash Contribution	In-Kind Contribution	Other Resources	TOTALS
A. Personnel					
B. Personal Services					
C. Proj. Related Expenses					
D. Travel					
E. General Administration					
<b>TOTALS</b>					

*Outline how the budget amounts were developed, explaining all line items including your request to CTED. Use the other side or additional paper if you need more space. **Please refer to budget examples in Helpful Hints, Part E, page 21.***

- A. Personnel: List project positions and amount of time they will work on the project.
  
- B. Personal Services: Identify the type of consultant you are using and purpose; i.e., marketing consultant for tourism brochure.
  
- C. Project Related Expenses: Be specific about costs, following the categories described on page 14.
  
- D. Travel: Mileage and per diem costs for paid project personnel or volunteers.

E. General Administration: (Local Contributions only)

**PART C -- SCOPE OF WORK**

Jurisdiction: \_\_\_\_\_

Project Type: \_\_\_\_\_  
\_\_\_\_\_

1. Provide a clear description of the project to be financed in part by a Public Works Trust Fund Loan (attach an additional sheet if necessary):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. The standard term of this loan is five (5) years with an interest rate of zero percent (0%). If your preferred loan term is shorter than this, please indicate year(s).\_\_\_\_\_

Signed: \_\_\_\_\_

Date: \_\_\_\_\_ Telephone: \_\_\_\_\_

3. ESTIMATED PROJECT TIMETABLE:

- Consultant Selection Process Begun \_\_\_\_\_
- Consultant Contract Award \_\_\_\_\_
- Draft of Plan Completed \_\_\_\_\_
- Draft of Plan Submitted to CTED for Review \_\_\_\_\_
- Plan Adopted by Jurisdiction \_\_\_\_\_
- Final Plan Submitted to CTED \_\_\_\_\_  
(including Adoption Resolution and  
Evidence of Public Hearing)

## PART C -- SCOPE OF WORK (Continued)

### 4. BUDGET INFORMATION

#### Estimated Project Costs

	<u>Eligible</u>	<u>Ineligible</u>	<u>Total</u>
Capital Improvement Plan	\$ _____	\$ _____	\$ _____
Comp Plan/Engineering	\$ _____	\$ _____	\$ _____
<b>TOTAL ESTIMATED COSTS</b>	<b>\$ _____</b>	<b>\$ _____</b>	<b>\$ _____</b>

#### Anticipated Funding Sources

A.	Federal Grants		\$ _____
	State Grants		\$ _____
B.	Locally Generated Revenue		
	Federal Loans (identify All)		
	_____	\$ _____	
	_____	\$ _____	
	State Loans		
	(non-PWTF loans, identify all)		
	_____	\$ _____	
	_____	\$ _____	
	Local Revenue - (Cash, Taxes, Reserve)	\$ _____	
	Local In-Kind Contribution	\$ _____	
	<b>TOTAL LOCAL REVENUE</b>		<b>\$ _____</b>

**Total Local Revenue Must Not Be Less Than 25%  
of Total Eligible Project Costs**

C.	Public Works Trust Fund Loan <b>(May not Exceed \$30,000)</b>	\$ _____
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Describe the Source of your cash match:

Describe the In-Kind contributions you are committing to this project:



## PART D -- CERTIFICATION FORM

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### **CERTIFICATION BY PREPARER OF APPLICATION (Staff Member or Consultant)**

WHEREAS, \_\_\_\_\_ has prepared this application for a Washington State Public Works Trust Fund loan; and

WHEREAS, the preparer recognizes and acknowledges that the entire application packet consists of Part A, Part B, Part C, Part D, Part E, and Part F all of which contain policy and procedural information applicable to the program, and that only Parts B, C, and D need be returned for review by the Public Works Board; and

WHEREAS, the preparer recognizes and acknowledges that the information in Parts B, C, and D are the only information which will be considered in the evaluation and rating process. Incomplete responses will result in a reduced chance of funding, and that in order to ensure fairness for all, the Public Works Board does not accept any additional written materials or permit applicants to make presentations before the Board; and

WHEREAS, the information provided in this application is true and correct to the best of the preparer's belief and knowledge; and

NOW THEREFORE, \_\_\_\_\_ recognizes and acknowledges the above declarations and certifies that this application meets the above requirements.

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

ATTEST: \_\_\_\_\_

## PART D -- CERTIFICATION FORM

### APPLICANT CERTIFICATION

WHEREAS, \_\_\_\_\_ is applying to the Washington State Public Works Trust Fund Program for a no-interest loan for an eligible project; and

WHEREAS, the local governing body has approved submission of this application for a Public Works Trust Fund loan; and

WHEREAS, the applicant recognizes and acknowledges that the entire application packet consists of Part A, Part B, Part C, Part D, Part E, and Part F all of which contain policy and procedural information applicable to the program, and that only Parts B, C, and D need be returned for review by the Public Works Board; and

WHEREAS, the applicant recognizes and acknowledges that the information in Parts B, C, and D are the only information which will be considered in the evaluation and rating process. Incomplete responses will result in a reduced chance of funding, and that in order to ensure fairness for all, the Public Works Board does not accept any additional written materials or permit applicants to make presentations before the Board; and

WHEREAS, the information provided in this application is true and correct to the best of the preparer's belief and knowledge; and

WHEREAS, it is necessary that certain conditions be met as part of the application process; and

WHEREAS, RCW 43.155.070 requires that county and city applicants must have adopted the local optional one-quarter of one percent Real Estate Excise Tax, as described in Chapter 82.46 RCW, and

WHEREAS, RCW 43.155.060 requires that the project will be advertised for competitive selection of consultant and administered according to standard local procedure; and

WHEREAS, the loan will not exceed 75 percent of eligible costs incurred for the project; and

WHEREAS, any loan arising from this application constitutes a debt to be repaid, and  
\_\_\_\_\_ has reviewed and concluded it has the

(person/title)

necessary capacity to repay such a loan;

NOW THEREFORE, \_\_\_\_\_ certifies that it meets these requirements,  
(name of local government)

and further, that it intends to enter into a loan agreement with the Department of Community, Trade and Economic Development, provided that the terms and conditions for a Public Works Trust Fund Loan are satisfactory to both parties.

Signed: \_\_\_\_\_

Title: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

ATTEST: \_\_\_\_\_



# **HELPFUL HINTS**

## **A GUIDE TO PREPARING YOUR APPLICATION**

- **OVERALL SUGGESTIONS**
- **ROAD TO SUCCESS**
- **SAMPLE APPLICATION SECTIONS**
- **COMMUNITY/CITIZEN PARTICIPATION**
- **EXAMPLES OF COMMUNITY GROUPS**

## OVERALL SUGGESTIONS

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*We have identified several steps that help build competitive applications. We hope that these hints will help you develop your proposal:*

**R**eview all application requirements before starting to write.

**P**lan for community/citizen input before you develop the application. This will build support for your project and eliminate any potential conflicts or duplication of efforts.

**S**chedule a time line for writing the proposal, working backwards from the due date. Allow adequate time to publicize community participation events and for review of the application.

**D**evelop the project concept with a team, but have one person do the actual writing.

**A**nswer every question in the order presented.

**D**on't try for perfection on your first draft. Get your ideas down first, then edit and rewrite.

**B**e specific. Don't hide a lack of knowledge or motives in a blizzard of nonessential information.

**M**ake sure all information in the proposal is easy to locate and read.

**D**on't forget to check your math.

**H**ave an associate or friend not directly involved in your project read your proposal, looking for:

- ❖ Typos and grammatical errors
- ❖ Logical inconsistencies
- ❖ Budget items that are not justified
- ❖ Confusing terms or jargon
- ❖ Unsupported arguments, unfounded assumptions, or weak documentation
- ❖ Ways to improve the overall proposal impact

**F**ollow all instructions for assembling and submitting your application.

## ROAD TO SUCCESS

IT IS USEFUL TO THINK OF PROPOSAL WRITING IN TERMS OF A  
ROAD TRIP THAT NEEDS EXTENSIVE PLANNING

**Opportunit  
y Problem**



**Goal**



**Objective  
s**



**Work  
Plan**



**Evaluatio  
n**

**Who are We?**

**Where are we  
now?**

**What is the  
community  
situation?**



**Where do we  
want to go?**



**What are the  
specific stops  
along the  
way?**



**How are we  
going to get  
there?**

**Who should  
be involved?**



**Are we on  
track?**

**Have we  
arrived?**

## SAMPLE APPLICATION RESPONSES

We have put together some sample responses to the application to help you write a strong proposal. The samples on the left are weak, unclear, and too general. The ones on the right take the same idea and craft it into a better statement.

The **Opportunity/Problem Statement** is your chance to convince the reviewers that you have a great opportunity or a compelling need. It is more important to describe how this opportunity or problem affects “people” than how it affects your “organization.”

Don’t assume the reviewers are familiar with what is happening in your community. Back up what you write with documentation, relevant data, or by recounting true stories to convince the reviewers. Describing how the whole community supports and had input on the project also convinces the reviewer of its importance.

### SAMPLE: OPPORTUNITY/PROBLEM STATEMENTS

#### Opportunity/Problem Statements

##### TOO GENERAL

##### BETTER

The PUD needs to complete a water CFP to apply for a PWTF loan.

The Cook County PUD is facing an inadequate water supply and needs to determine what is the best solution for this problem and how to fund it.

The PUD has to meet state and federal regulations

The current water system does not meet reliability standards based on the state Board of Health drinking water regulations.

The PUD is often without adequate water supply.

Since 1990, the citizens of Cook County have had to ration water during the summer months.

Cook County agrees that it is important for the PUD to improve its water system.

Cook County, identified the high need for water system improvements and the PUDs role in providing this service in its 1992 comprehensive plan.

The water system users complain about the utility rates.

This planning process will provide the water users with the opportunity to learn more about their water system and have a say in which solutions are chosen.

**SAMPLE APPLICATION RESPONSES (continued)**

**Goal Statements** express in broad terms what you want to achieve: the desired result. They are necessary and compelling, but difficult to measure. **Objectives** are sometimes the hardest to write, because they need to be specific. Objectives are measurable and quantifiable components of the goal, that usually include a general timeframe.

**SAMPLE: GOALS AND OBJECTIVES**

**Goal/Objectives**

**TOO GENERAL**

**BETTER**

**Goal:** To provide water to the PUD

**Goal:** To have a well-designed, safe, and cost-effective domestic water system for the Cook County PUD.

**Objectives:** We need to look at our water needs now and in the future.

**Objectives:** To collect and analyze data on present and future water needs by November, 1996.

To adopt a plan for water needs.

To complete and adopt a Capital Facility Plan for domestic water by January, 1997.

## SAMPLE APPLICATION RESPONSES (continued)

### SAMPLE: WORK PLAN

WORK PLAN FORM		
TASKS	TIME FRAME	RESPONSIBLE PARTY
1) Collect data on present domestic water demands and survey utility user satisfaction.	9/96	<u>PUD Planner</u>
2) Inventory and assess current domestic water system components.	9-10-96	Consulting Engineer
3) Review long-range population forecasts.	10/96	PUD Planner
4) Review current and proposed zoning/land uses.	10/96	PUD Planner
5) Estimate 5- and 10-year domestic water demands.	10/96	PUD Planner
6) Estimate 5-10-year domestic water system capital facility needs and develop a draft report	11/96	Consulting Engineer
7) review draft with PUD Commissioners in a public forum and amend report.	12/96	Consulting Engineer and PUD Planner
8) Adopt Capital Facility Plan for domestic water system.	1/97	Consulting Engineer and PUD Planner
	1/97	PUD Commissioners

## SAMPLE APPLICATION RESPONSES (continued)

**An Evaluation** should help you both monitor the project's progress and determine if your project was a success. While some projects will also be monitored by CTED, you still need to decide how you will stay on track. Remember that a well thought out proposal will link the evaluation to the objectives and the work plan.

### SAMPLE: EVALUATION

#### Evaluation

##### TOO GENERAL

The consultant will tell us if he is running behind on the timeline.

We will know that we succeeded if we finish on time.

A mayor and town council will be responsible for monitoring this planning process.

##### BETTER

The project manager will monitor the consultant's progress.

Acceptance of the plan by DOE and inclusion in GMA implementation, will determine success of the project

The mayor and town council will monitor this process by requiring monthly reports from the consultant to be reviewed at council meetings.

## SAMPLE APPLICATION RESPONSES (continued)

### SAMPLE: FINANCIAL PAGE

Cook county PUD is facing an inadequate water supply and needs to determine what is the best solution and how to fund it.

What is the expected contract time funded by this request?\* \_\_\_\_\_ 6 \_\_\_\_\_ months.

	Request to CTED*	Cash Contribution	In-Kind Contribution	Other Resources	TOTALS
A. Personnel					
B. Personal Services	\$30,000	\$7,500			\$37,500
C. Proj. Related Expenses					
D. Travel					
E. General Administration	XXXXXX				
<b>TOTALS</b>	\$30,000	\$7,500			\$37,500

*Outline how the budget amounts were developed, explaining all line items including your request to CTED. Use the other side or additional paper if you need more space.*

A. Personnel: List project positions, and amount of time they will work on the project.

B. Personal Services: Identify the type of consultant you are using and purpose; i.e., marketing consultant for tourism brochure.

**Consultant services to conduct analysis of Cook County PUD water system need and prepare final Community Capital Facilities Plan. A consultant contract includes hourly rate, travel, fax/long distance costs, and ten color copies of a final report.**

C. Project Related Expenses: Be specific about costs, following the categories described on page 14.

D. Travel: Mileage and per diem costs for paid project personnel or volunteers.

E. General Administration: (Local Contributions only).

## GUIDELINES FOR PREPARING THE SCOPE OF WORK

The Scope of Work provides a brief description of your project. When completed and signed, it becomes part of the formal loan agreement. The following are some guidelines to help you in preparing the Scope of Work.

- 1) **Provide a concise description of the project, including the elements of the system plan(s) being completed.** For example: Develop a comprehensive sewer system plan that will meet the requirements of both the Department of Ecology and the Growth Management Act.
- 2) **Avoid making the Scope too detailed or precise.** Remember, the Scope of Work is part of your loan agreement and you may be required to complete all the work elements as described. Too much detail can unnecessarily limit your flexibility.
- 3) **Try to make the Scope as inclusive as possible.** You can probably avoid a future Scope of Work change by anticipating ahead of time the worst-case and/or best-case scenario.

**CAUTION:** Keep in mind while preparing your Scope of Work, that you will be expected to complete all the elements identified in your basic Scope, even if review indicates they may require additional work elements.

### SAMPLE: SCOPE OF WORK

TOO GENERAL	Scope of Work BETTER
Anytown will adopt a Capital Facilities Plan for the sanitary sewer system.	Anytown wants to ensure that the sanitary sewer system gives cost-effective service and a stable predictable rate structure. As a step in reaching that goal, Anytown will adopt a Capital Facilities Plan for the sanitary sewer system that includes the standards of the GMA.
The city will update its 1991 water plan and develop a comprehensive sewer plan to meet state requirements.	The city will update its 1991 water plan to a comprehensive water plan according to requirements of the GMA, and develop a comprehensive sewer plan according to the requirements of the DOE and GMA.
This project includes the preparation of a comprehensive plan and capital facilities plan for the town of Anytown.	This project includes the preparation of a comprehensive plan and capital facilities plan that will include evaluation of the existing water system infrastructure; evaluation for the potential for providing water treatment for the town; review the impact of new SDWA regulations on the town's water system; and outline a CFP improvement program for both water treatment and distribution systems.

## GUIDELINES FOR PREPARING THE SCOPE OF WORK

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### CAPITAL FACILITIES PLANNING LOAN PROGRAM SCOPE OF WORK (SAMPLE)

Jurisdiction: Anytown

Project Type: Comprehensive Sewer System Plan  
\_\_\_\_\_

- 1) Provide a clear description of the project to be financed in part by a Public Works Trust Fund Loan (attach an additional sheet if necessary)

**The Town wants to ensure that the sanitary sewer system provides cost effective service with a stable, predictable rate structure. As a step in reaching that goal, the town will adopt a Capital Facility Plan for the Sanitary Sewer System.**

- 2) The standard term of this loan is five(5) years with an interest rate of zero percent (0%)  
If your preferred loan term is shorter than this, please indicate year(s).\_\_\_\_\_

Signed:\_\_\_\_\_

Date:\_\_\_\_\_

Telephone:\_\_\_\_\_

## GUIDELINES FOR PREPARING THE SCOPE OF WORK

### 3. ESTIMATED PROJECT TIMETABLE:

- Consultant Selection Process Begun 2/95
- Consultant Contract Award 4/95
- Draft of Plan Completed 9/95
- Draft of Plan Submitted to CTED for Review 9/95
- Plan Adopted by Jurisdiction 12/95
- Final Plan Submitted to CTED 12/95  
(including Adoption Resolution and  
Evidence of Public Hearing)

### 4. BUDGET INFORMATION

<u>Estimated Project Costs</u>	<u>Eligible</u>	<u>Ineligible</u>	<u>Total</u>
Capital Improvement Plan	\$12,500	\$	\$12,500
Comprehensive Plan/Engineering	\$25,000	\$	\$25,000
<b>TOTAL ESTIMATED COSTS</b>	<b>\$37,500</b>	<b>\$</b>	<b>\$37,500</b>

#### Anticipated Funding Sources

A.	Federal Grants		\$
	State Grants		\$
B.	Locally Generated Revenue		
	Federal Loans (identify All)		
		\$	
		\$	
	State Loans (non-PWTF loans, identify all)		
		\$	
		\$	
	Local Revenue - (Cash, Taxes, Reserve)	\$7,500	
	Local In-Kind Contribution	\$	
	<b>TOTAL LOCAL REVENUE</b>	<b>\$7,500</b>	

**Total Local Revenue Must Not Be Less Than 25% of Total Eligible Project Costs**  
**Percent Local Match = Total Local Revenue/Total Eligible Project Costs**

C.	Public Works Trust Fund Loan	<u>\$30,000</u>
	<b>(May not Exceed \$30,000)</b>	

Describe the Source of your cash match: **The Town match includes \$3,600 for Town wages and benefits, \$200 for travel expenses, and \$3,700 for personal services.**

## COMMUNITY / CITIZEN PARTICIPATION

Community and citizen participation in the development and implementation of a project provides real benefits to the project and is viewed favorably by CTED. These benefits include:

- ◆ Early identification of potential problems and possible assistance in creating solutions;
- ◆ Coordination of activities, increasing the potential for regional impact, and decreasing duplication of effort.
- ◆ Connection with other potential sources of funding and in-kind support; and
- ◆ Creation of additional community support for your project.

Community and citizen participation can vary depending upon the community, the lead organization, the project's state of development, the project's purpose, and the type of funding being sought. Given these factors, it is important to determine the most suitable and effective form of participation before an application for funding is developed.

The form and scope of your community's participation depends on the project's state of development. **Before a project is defined**, early participation is essential and can be elicited through information-sharing meeting, community surveys strategic planning sessions, focus groups, and/or open public hearings. **Once a project is developed and ready to be implemented**, continued involvement is beneficial and can come in the form of advisory groups, community forums, task forces, and/or the use of volunteers and local organizations throughout the course of the project.

### EXAMPLES OF COMMUNITY GROUPS

**Governmental:** Citizen Advisory Groups  
Clerk and Recorder  
City Manager and Administrator  
Planning Board  
Planning Director  
Public Works Director  
City Council  
Area Council on Aging  
County Board of Commissioners  
Cooperative Extension Service  
Law Enforcement Agency

## PART F -- CAPITAL FACILITIES PLAN STANDARDS

### PUBLIC WORKS BOARD CAPITAL FACILITIES PLANNING STANDARDS

The following standards are the minimum requirements for a Capital Facilities Plan (CFP) as established by the Public Works Board. As of January 1, 1996, the Trust Fund requires all loan applicants to have CFPs which meet these requirements (except those jurisdictions planning under GMA whose deadlines are after January 1, 1996).

1. Inventory major system components, show locations and capabilities, and assess the overall capital needs for the specific system(s) involved;
2. Forecast future needs for the capital facilities, show location, and capabilities of expanded or new capital facilities;
3. Identify, prioritize, and coordinate major capital improvement projects over a six-year period;
4. Estimate capital project costs, identify financing alternatives for each project identified. Transportation projects and funding must be consistent with locally-established service standards;
5. Must be updated on a regular basis. We recommend at least once every two years. In no case will a plan over six (6) years old be accepted;
6. Must be consistent with the comprehensive plans of neighboring jurisdictions;
7. Must have provided opportunity for early and continuous public participation; and
8. Must be consistent with, and be an element of, the comprehensive plan formally adopted by the governing body of the local jurisdiction.

For number eight above, the Public Works Board will give special interpretation to special purpose districts. Special purpose districts need to show consistency with the comprehensive land use plan of the counties and/or cities in which they provide services.

**Note: Counties and cities that have an approved CFP as part of the GMA requirements, generally meet the above standards.**